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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/785,643	02/16/2001	Jonathan David Goodwin	40627/FLC/S850	3578

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EXAMINER

GREENE, DANIEL L

ART UNIT	PAPER NUMBER
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3621

DATE MAILED: 12/17/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/785,643

Applicant(s)

GOODWIN, JONATHAN DAVID

Examiner

Daniel L. Greene

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

## Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 16 February 2001.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1-46 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-46 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. §§ 119 and 120

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 13) ☒ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application) since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.  
a) ☐ The translation of the foreign language provisional application has been received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121 since a specific reference was included in the first sentence of the specification or in an Application Data Sheet. 37 CFR 1.78.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). \_\_\_\_\_
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 4,6,7,8. 6) ☐ Other: \_\_\_\_\_

## DETAILED ACTION

### ***Claim Rejections - 35 USC § 103***

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 1-46 are rejected under 35 U.S.C. 103(a) as being unpatentable over Lewis et al. U.S. Patent 6,233,565 [Lewis], and further in view of Berson U.S. Patent 5,598,477 [Berson].

As per claims 1 , 19 and 39:

Lewis discloses:

receiving validation information from an end-user's machine via the computer network; Col. 4, lines 5-35

generating value bearing indicium data using the validation information;

Col. 4, lines 5-35.

Lewis discloses the claimed invention except for the storing the value bearing indicium data in a validation information database. Berson teaches that it is known in the art to provide storing the value bearing indicium data in a validation information database. It would have been obvious to one having ordinary skill in the art at the time the invention was made to provide the financial transaction system of Lewis

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with the storing the value bearing indicium data in a validation information database of Berson, in order to maintain a record of the transaction and utilize the data for future verification of the transaction.

transmitting the value bearing indicium data to the end-user's machine via the computer network; Col. 5, lines 43-50.

Lewis discloses the claimed invention except for the receiving the value bearing indicium data from a scanning machine via the computer network. Berson teaches that it is known in the art to provide receiving the value bearing indicium data from a scanning machine via the computer network. It would have been obvious to one having ordinary skill in the art at the time the invention was made to provide the financial transaction system of Lewis with the receiving the value bearing indicium data from a scanning machine via the computer network of Berson, in order to utilize the financial entity generated by the previous transaction.

Lewis discloses the claimed invention except for the determining a validity status for the value bearing indicium data using the validation information database and transmitting the validity status to the scanning machine. Berson teaches that it is known in the art to provide determining a validity status for the value bearing indicium data using the validation information database and transmitting the validity status to the scanning machine. It would have been obvious to one having ordinary skill in the art at the time the invention was made to provide the financial transaction system of Lewis with the determining a validity status for the value bearing indicium data using the validation information database and transmitting the validity status to the scanning

machine of Berson , in order to inform the recipient the status of the value bearing indicium.

As per claims 2 and 42:

Lewis further discloses:

receiving a value bearing indicium data request from the end-user's machine via the computer network; Col. 5, lines 25-60.

generating the validation information from the value bearing indicium data request; Col. 5, lines 25-60. and

transmitting the validation information to the end user's machine via the computer network. Col. 5, lines 25-60.

As per claim 3:

Lewis further discloses:

further comprising the step of transmitting the validity status to a value bearing indicium distributor. Fig 1A.

As per claims 4, 14, 20 , 34 and 40:

Lewis further discloses:

wherein the validity status of the value bearing indicium data is determined to be invalid if the value bearing indicium data is not found in the validation information database. Col. 15, lines 45-55.

As per claims 5, 15 , 21 , 35 and 41:

Lewis further discloses:

wherein the validity status of the value bearing indicium data is determined to be redeemed if the value bearing indicium data is found in the validation information database and the value bearing indicium data has been previously redeemed. Col. 18, lines 1-10.

As per claims 6 and 24:

Lewis further discloses:

wherein the value bearing indicium data is a ticket. Col. 38, lines 25-60.

As per claims 7 and 25:

Lewis further discloses:

wherein the value bearing indicium data is postage for a mail piece. Col. 38, lines 25-60.

As per claims 8 and 26:

Lewis further discloses:

wherein the value bearing indicium data is currency. Col. 38, lines 25-60.

As per claims 9 and 27:

Lewis further discloses:

wherein the value bearing indicium data is a voucher. Col. 38, lines 25-60.

As per claims 10 and 28:

Lewis further discloses:

wherein the value bearing indicium data is a coupon. Col. 38, lines 25-60.

As per claims 11 and 29:

Lewis further discloses:

wherein the value bearing indicium data is a traveler's check. Col. 38, lines 25-60.

As per claims 12:

Lewis further discloses:

wherein the step of generating value bearing indicium data using the validation information includes the steps of;

generating a message digest by hashing a first subset of the validation information; Col. 5, lines 10-25

generating a digital signature from the message digest; Col. 4, lines 25-35.

generating a bar code from a second subset of the validation information.

Fig. 4B

As per claim 13:

Lewis discloses the claimed invention except for detailing the specific steps in reference to a ticket transaction. However, Lewis does teach that his system is applicable to transactions involving tickets for travel/transportation other ticket issuing entities. Col. 38, lines 35-45.. Berson teaches that it is known in the art to provide an apparatus and method for issuing and validating tickets that incorporate the generic actions taught by Lewis. It would have been obvious to one having ordinary skill in the art at the time the invention was made to illustrate the conceptual actions of Lewis's internet based financial transactions with evidence of payment into the specific transaction of acquiring a ticket as per Berson in order to facilitate the application presented by Lewis.

Berson discloses: Col. 3-4, lines 1-67.

providing a ticket server, the ticket server operable coupled to a validation information database;

providing a distributor server;

receiving a ticket request from an end-user's machine by the distributor server via the computer network; generating validation information from the ticket request by the distributor server;



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transmitting the validation information to the end user's machine by the distributor server via the computer network;

receiving by the ticket server the validation information from the end-user's machine via the computer network;

generating by the ticket server a ticket using the validation information;

storing the ticket in the validation information database;

transmitting the ticket to the end-user's machine by the ticket server via the computer network;

receiving the ticket from a scanning machine by the ticket server via the computer network;

determining a validity status for the ticket by the ticket server using the validation information database;

transmitting the validity status to the scanning machine by the ticket server via the computer network; and

transmitting the validity status to the distributor server by the ticket server via the computer network.

As per claims 16 , 30 , 36 and 43:

Lewis further discloses:

the step of generating a ticket using the validation information including the steps of:

generating a message digest by hashing a first subset of the validation information; Col. 5, lines 10-25.

generating a digital signature from the message digest; Col. 4, lines 25-40.

generating a bar code from a second subset of the validation information; Col. 14, lines 15-20. and

transmitting via the computer network the digital signature and the bar code to the end-user's machine to be printed as a ticket. Col. 18, lines 53-67.

As per claims 17 , 31 ,37 and 44:

Lewis further discloses:

wherein the messages digest is generated using a secure hash algorithm. Col. 5, lines 10-30.

As per claims 18 , 32 , 38 and 45:

Lewis further discloses:

wherein the digital signature is generated using a digital signature algorithm. Col. 4, lines 20-40.

As per claim 22:

Lewis further discloses:

a distributor server, the distributor server including:  
a processor; Fig. 3

a memory operable coupled to the processor and having program instructions stored therein, the processor being operable to execute the program instructions; Fig. 3

the program instructions including:

receiving a value bearing indicium data request from the end-user's machine via the computer network; Col. 5, lines 25-60.

generating the validation information from the value bearing indicium data request; Col. 5, lines 25-60.

transmitting the validation information to the end-user's machine via the computer network. Col. 5, lines 25-60.

As per claim 23:

Lewis further discloses:

the indicium server program instructions further including transmitting the validity status to the distributor server. Col. 16, lines 5-50.

As per claim 33:

Lewis discloses:

a distributor server, the distributor server including:

a processor; Fig. 3

a memory operable coupled to the processor and having program instructions stored therein, the processor being operable to execute the program instructions; Fig. 3

the program instructions including:

receiving a value bearing indicium data request from the end-user's machine via the computer network; Col. 5, lines 25-60.

generating the validation information from the value bearing indicium data request; Col. 5, lines 25-60.

transmitting the validation information to the end-user's machine via the computer network. Col. 5, lines 25-60.

Lewis discloses the claimed invention except for detailing the specific steps in reference to a ticket transaction. However, Lewis does teach that his system is applicable to transactions involving tickets for travel/transportation other ticket issuing entities. Col. 38, lines 35-45.. Berson teaches that it is known in the art to provide an apparatus and method for issuing and validating tickets that incorporate the generic actions taught by Lewis. It would have been obvious to one having ordinary skill in the art at the time the invention was made to illustrate the conceptual actions of Lewis's internet based financial transactions with evidence of payment into the specific transaction of acquiring a ticket as per Berson in order to facilitate the application presented by Lewis.

Berson discloses: Col. 3-4, lines 1-67.

providing a ticket server, the ticket server operable coupled to a validation information database;

providing a distributor server;

receiving a ticket request from an end-user's machine by the distributor server via the computer network; generating validation information from the ticket request by the distributor server;

transmitting the validation information to the end user's machine by the distributor server via the computer network;

receiving by the ticket server the validation information from the end-user's machine via the computer network;

generating by the ticket server a ticket using the validation information;

storing the ticket in the validation information database;

transmitting the ticket to the end-user's machine by the ticket server via the computer network;

receiving the ticket from a scanning machine by the ticket server via the computer network;

determining a validity status for the ticket by the ticket server using the validation information database;

transmitting the validity status to the scanning machine by the ticket server via the computer network; and

As per claim 46:

Lewis further discloses:

wherein the first subset of relevant information and the second subset of relevant information are the same. Col. 5, lines 10-30.

Examiner's Note: Examiner has cited particular columns and line numbers in the references as applied to the claims below for the convenience of the applicant.

Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested from the applicant, in preparing the responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the examiner.

### ***Conclusion***

3. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Kay U.S. Patent 6,223,166 CRYPTOGRAPHIC ENCODED TICKET ISSUING AND COLLECTION SYSTEM FOR REMOTE PURCHASERS.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Daniel L. Greene whose telephone number is 703-306-5539. The examiner can normally be reached on M-Thur. 8am-6pm.

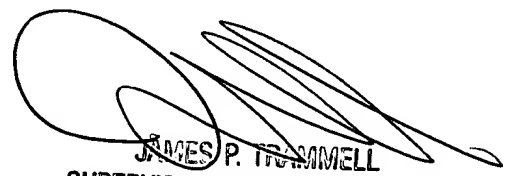
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James P. Trammell can be reached on 703-305-9768. The fax phone number for the organization where this application or proceeding is assigned is 703-305-7687.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-308-1113.

12/3/03

DLG

4.



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